



12-22-04

IFW

EXPRESS MAIL NO. EV485811246US

PATENT APPLICATION  
Docket No: 15436.307.1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of	)	
	)	
Lucy G. Hosking	)	
	)	
Serial No.:	)	Art Unit
10/828,724	)	2874
	)	
Confirmation No.:	)	
8563	)	
	)	
Filed:	)	
April 21, 2004	)	
	)	
For:	)	
INTEGRATED OPTICAL ASSEMBLY	)	
	)	
Examiner:	)	
Unknown	)	

INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. § 1.97

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Please find, pursuant to 37 C.F.R. § 1.98(a)(1), the enclosed Form PTO-1449 which contains a list of all patents, publications, or other items that have come to the attention of one or more of the individuals designated in 37 C.F.R. § 1.56(c). While no representation is made that any of these references may be "prior art" within the meaning of that term under 35 U.S.C. §§ 102 or 103, the enclosed list of references is disclosed so as to fully comply with the duty of disclosure set forth in 37 C.F.R. § 1.56.

Moreover, while no representation is made that a specific search of office files or patent office records has been conducted or that no better art exists, the undersigned attorney of record

believes that the enclosed art is the closest to the claimed invention (taken in its entirety) of which the undersigned is presently aware, and no art which is closer to the claimed invention (taken in its entirety) has been knowingly withheld.

In accordance with 37 C.F.R. §§ 1.97 and 1.98, a copy of each of the listed references or relevant portion thereof is also enclosed.

DATED December 21, 2004.

Respectfully submitted,

A handwritten signature in cursive script, appearing to read "R. Burns Israelsen".

R. BURNS ISRAELSEN  
Attorney for Applicant  
Registration No. 42,685  
Customer No. 022913  
Telephone: (801) 533-9800

RBI: kjb  
KJB0000004986V001

51  
DEC 21 2004  
PATENT & TRADEMARK OFFICE

**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**

Applicant(s): **Lucy G. Hosking**

Docket No.

**15436.307.1**

Serial No.

**10/828,724**

Filing Date

**April 21, 2004**

Examiner

**Unknown**

Group Art Unit

**2874**

Invention: **INTEGRATED OPTICAL ASSEMBLY**

I hereby certify that this **Information Disclosure Statement; PTO Form 1449; three (3) references; postcard**  
(Identify type of correspondence)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under  
37 CFR 1.10 in an envelope addressed to: The Commissioner of Patents and Trademarks, Washington, D.C.

20231-0001 on **December 21, 2004**  
(Date)

**Kristine Blust**

(Typed or Printed Name of Person Mailing Correspondence)



(Signature of Person Mailing Correspondence)

**EV485811246US**

("Express Mail" Mailing Label Number)

**Note: Each paper must have its own certificate of mailing.**

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DEC 21 2004  
PATENT & TRADEMARK OFFICE

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.  
15436.307.1

In Re Application Of: **Lucy G. Hosking**

Serial No.  
10/828,724

Filing Date  
April 21, 2004

Examiner  
Unknown

Group Art Unit  
2874

Title: **INTEGRATED OPTICAL ASSEMBLY**

Address to:  
Assistant Commissioner for Patents  
Washington, D.C. 20231

**37 CFR 1.97(b)**

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

**37 CFR 1.97(c)**

2. ☐ The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:
- ☐ the statement specified in 37 CFR 1.97(e);
- OR**
- ☐ the fee set forth in 37 CFR 1.17(p).

DEC 21 2004  
PATENT TRADEMARK OFFICE

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.  
15436.307.1

In Re Application: **Lucy G. Hosking**

Serial No.  
10/828,724

Filing Date  
April 21, 2004

Examiner  
Unknown

Group Art Unit  
2874

**INTEGRATED OPTICAL ASSEMBLY**

**Payment of Fee**

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of \_\_\_\_\_ is attached.
- ☒ The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. 23-3178 as described below. A duplicate copy of this sheet is enclosed.
- ☐ Charge the amount of \_\_\_\_\_
- ☒ Credit any overpayment.
- ☒ Charge any additional fee required.

**Certificate of Transmission by Facsimile\***

I certify that this document and authorization to charge deposit account is being facsimile transmitted to the United States Patent and Trademark Office (F

\_\_\_\_\_  
(Date)

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Typed or Printed Name of Person Signing Certificate

**Certificate of Mailing by First Class Mail**

I certify that this document and fee is being deposited with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

\_\_\_\_\_  
Signature of Person Mailing Correspondence

\_\_\_\_\_  
Typed or Printed Name of Person Mailing Certificate

\*This certificate may only be used if paying by deposit account.

*R. Burns Israel*

Signature

Dated: December 21, 2004

**R. BURNS ISRAELSEN**

Reg. No. 42,685

Customer No. 022913

CC:

Applicant: Lucy G. Hosking

Serial No.: 10/828,724

Att'y Docket No.: 15436.307.1

Filing Date: April 21, 2004

Group: 2874

For: INTEGRATED OPTICAL ASSEMBLY

INFORMATION DISCLOSURE CITATIONS MADE BY APPLICANTU.S. Patent Documents

<u>Examiner Initial*</u>	<u>Document Number</u>	<u>Issue Date</u>	<u>Name</u>
None			

Foreign Patent Documents

<u>Examiner Initial*</u>	<u>Document Number</u>	<u>Publication Date</u>	<u>Country or Patent Office</u>
None			

Other Documents

(including author, title, pertinent pages, etc.)

Examiner  
Initial\*

- |         |   |
|---------|---|
| _____ 1 | Documentation entitled "Interfacing Maxim Laser Drivers with Laser Diodes", dated 9/01/00, Maxim High-Frequency/Fiber Communications Group, first appeared <i>Lightwave</i> magazine, August 2000 |
| _____ 2 | Article entitled "IBM Solutions for a Multi-Gbps World", by Michael W. Marlowe and William Charuk, <i>MicroNews</i> , Second Quarter 2001, Vol. 7, No. 2  |
| _____ 3 | Documentation entitled "I <sup>2</sup> C Bus Solutions, I <sup>2</sup> C Bus Basics", dated June 2002, Philips  |

Examiner:

Date Considered:

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609, draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Applicant: Lucy G. Hosking  
Serial No.: 10/828,724  
Filing Date: April 21, 2004  
For: INTEGRATED OPTICAL ASSEMBLY

Att'y Docket No.: 15436.307.1  
Group: 2874

### **References Cited by Applicants**

While the filing of Information Disclosure Statements is voluntary, the procedure is governed by the guidelines of Section 609 of the Manual of Patent Examining Procedure and 37 C.F.R. §§ 1.97 and 1.98. To be considered a proper Information Disclosure Statement, Form PTO-1449 shall be accompanied by a copy of each listed patent or publication or other item of information and a translation of the pertinent portions of foreign documents (if an existing translation is readily available to the applicant), an explanation of relevance of each reference not in the English language, and should be submitted in a timely manner as set out in MPEP Sec. 609.

Examiners will consider all citations submitted in conformance with 37 C.F.R. § 1.98 and MPEP Sec. 609 and place their initials adjacent the citations in the spaces provided on this form. Examiners will also initial citations not in conformance with the guidelines which may have been considered. A reference may be considered by the Examiner for any reason whether or not the citation is in full conformance with the guidelines. A line will be drawn through a citation if it is not in conformance with the guidelines AND has not been considered. A copy of the submitted form, as reviewed by the Examiner, will be returned to the applicant with the next communication. The original of the form will be entered into the application file.

Each citation initialed by the Examiner will be printed on the issued patent in the same manner as references cited by the Examiner on Form PTO-892.

The reference designations "A1," "A2," etc. (referring to Applicant's reference 1, Applicant's reference 2, etc.) will be used by the Examiner in the same manner as Examiner's reference designations "A," "B," "C," etc. on Office Action Form PTO-1142.

KJB0000004987V001

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Examiner:

Date Considered:

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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609, draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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